FORM 1449*E

INFORMATION DISCLOSURE STATEMENT

IN AN APPLICATION

(Use several sheets if necessary)

Docket Number: 11798.3USUI	Application Number: 09/751,837
Applicant: SMITH ET AL.	
Filing Date: 12/29/2000	Group Art Unit: 2163

JUN 10 2003

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,630,127	05/13/1997	Moore et al.			
	5,710,922	01/20/1998	Alley et al.			
	5,774,661	06/30/1998	Chatterjee et al.			
	5,889,944	03/30/1999	Butt et al.			
	5,890,161	03/30/1999	Helland et al.			
	5,991,771	11/23/1999	Falls et al.			

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 98/25376	06/11/1998	PCT				
	WO 99/17240	04/08/1999	PCT				
	WO 99/40551	08/12/1999	PCT				
	WO 99/42942	08/26/1999	PCT				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

		"Enterprise Software Architecture (Whitepaper #99-2)," *TCS Corporate Architecture Group*, pp. 1-9 (August 1999).
		"IBM CICS Transaction Server for OS/390 - Evolving to e-business with DYNASTY (Whitepaper)," *Dynasty Technologies, Inc.*, pp. 1-22 (April 1999).
		"Network Computing Architecture™ - An Oracle Technical White Paper," *ORACLE®*, pp. 1-16 (June 1997).
		Saletore, V. et al., "Demonstrating a Solution and the Benefits of Intel® Server Cluster Using VI Architecture for Multi-Tier Internet-based Enterprise Applications," *Intel Developers Forum: Next Generation of Merrill Lynch Broker Information Management System*, pp. 3-15 (September 1, 1999).
		Scatliff, T., "A Portfolio Management System for the Twenty-First Century," *Handbook of Technology in Financial Services*, Chapter 37, pp. 37-1 through 37-13 (©1999).
		Seiler, H., "Business Rule Systems," *Handbook of Technology in Financial Services*, Chapter 7, pp. 7-1 through 7-14 (©1999).

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PATENT TRADEMARK OFFICE

EXAMINER		DATE CONSIDERED	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.

*Substitute Disclosure Statement Form (PTO-1449)

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